



UNIVERSITY OF COLORADO SYSTEM
Boulder • Colorado Springs • Denver and Health Sciences Center •
System Administration

UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM

Initially Submitted for Approval on January 31, 2001

Amended February 9, 2001 to reflect Executive Committee Decisions

Amended June 20, 2001 to make technical corrections for consistency with
State Personnel *Director's Administrative Procedures* (Effective July 1, 2001)

Amended November 30, 2001 to make technical corrections for consistency with
State Personnel *Director's Administrative Procedures* (Effective September 1, 2001)

Amended February 2002 to make further technical corrections for consistency with
State Personnel *Director's Administrative Procedures* (Effective September 1, 2001)

Amended December 16, 2004 pursuant to Department of Personnel & Administration request

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

**UNIVERSITY OF COLORADO
PERFORMANCE MANAGEMENT PROGRAM**

I. SCOPE

This University of Colorado's *Performance Management Program* (Program) is a system-wide framework submitted on behalf of the entire University system for approval by the State Personnel Director. It also applies to state classified employees who are employed by the University of Colorado Hospital (UCH).

II. GUIDELINES

Consistent with the guidelines from the State Personnel Director, the University of Colorado's Program consists of three components: (1) performance management, (2) performance salary adjustments, and (3) dispute resolution. To ensure comprehensive implementation of the University's Program, the Board of Regents adopted, on January 18, 2001, the provision for supervisor accountability as a Regent Policy.

The Program applies to classified employees in the State personnel system (classified employees), who occupy regular (non-temporary) positions. It has been developed in response to a State mandate and is consistent with the current guidelines issued by the State Personnel Director.

The Program, the CU performance management process, the *University of Colorado Performance Management Program User Guide*, and all performance planning and evaluation forms conform to State of Colorado statutes, the State's guidelines, and applicable rules and administrative procedures of the State Personnel System.

A. State Guidelines To Be Followed by State Agencies and Higher Education Institutions

The overall design of the Program, including the University's performance management process that forms the basis for making performance salary adjustments is consistent with the State guidelines that all agencies and higher education institutions must follow. In particular, the Program addresses the following state-mandated elements:

1. The inclusion of state-prescribed "core competencies" in every employee's performance plan and evaluation.
2. The use of four performance rating levels as follows: Level 1(Unsatisfactory); Level 2 (Satisfactory); Level 3 (Above Standard); and Level 4 (Outstanding). Level 4 is intended to be unique and difficult to achieve because it represents consistently exceptional performance and achievement beyond the regular assignment (see Table 1, below).

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

**TABLE 1 – RATING LEVELS DEFINITIONS
Effective for the 2005-2006 Performance Cycle**

Definition of Level 4

This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Definition of Level 3

This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

Definition of Level 2

This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

Definition of Level 1

This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

3. The definition of specific actions to be taken if an employee is rated at Level 1 (Unsatisfactory).
4. The alignment of employee performance plans with the current University system vision and the vision and strategic goals of the respective campuses.
5. The guarantee, through a supervisor accountability provision, that all employees will be evaluated, in writing, at least annually based on job performance during the previous year.

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

6. A specific program to ensure that the mandated supervisory training is provided.
7. For supervisors who are classified staff, the inclusion in their performance plans of at least one distinct goal outlining supervisory duties, including an explicit definition of performance management responsibilities.
8. For all other supervisors, a specific discussion of the activities included in the supervision of classified staff as part of the process in which faculty expectations are discussed with the department chair and/or dean, or during the appropriate period in which annual performance planning for officers and exempt personnel occurs.
9. A supervisor accountability provision, adopted by the Board of Regents on January 18, 2001, to specify the sanctions that will be applied to supervisors – whether classified staff, faculty, exempt personnel, or officers – who fail to evaluate classified staff annually according to the deadlines of the Program performance evaluation cycle schedule.
10. The application of any mandated salary adjustments¹ before the calculation of performance salary adjustment amounts.
11. Compliance with the State regulations about the types of performance salary adjustments that may be provided and the values of the percentage increases. The State regulates the types of performance salary adjustments that are permitted based on the employee's performance rating level and the employee's salary relative to the maximum of the pay range for the employee's job classification.
12. Completion of performance plans and evaluations and coaching and feedback sessions for employees in the state personnel system may not be waived by either the employee or the employee's supervisor.
13. An annual performance planning and evaluation cycle that is consistent across all state agencies (see Section "III.C." and Attachment A, Section "II.A.2." below).

B. Elements That May Be Defined at the University's Discretion

For those elements that may be developed at the discretion of an agency or higher education institutions, the University either (1) has established a CU policy at the system level, e.g., the decision to implement a uniform numeric rating scale across all campuses; or (2) has delegated the discretion to the campuses with guidelines provided by the System Administration.

1. Elements That Are Uniform across the University System

¹ Mandated salary adjustments include, and are applied in the order listed: (1) system maintenance studies; (2) upward, downward, or lateral movements; (3) changes in pay grade minimums and maximums to implement approved annual compensation changes; (4) salary adjustments to base pay pursuant to approved annual compensation changes, subject to the new grade maximum; (5) salaries brought to new minimum as a result of compensation survey pay grade changes; (7) annual performance salary adjustments.

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

The following elements will be applied in a standard manner at all campuses within the CU System:

- a) Plan Submission—The University is submitting a single performance management program, on behalf of all campuses and the system administration, for State of Colorado approval.
- b) Performance Planning and Rating Form—A template performance planning and evaluation form will be used system-wide. The uniform performance planning and evaluation form incorporates the “core competencies” that have been defined by the State Personnel Director.
- c) Performance Evaluation Rating Scale—A standard performance rating scale will be applied consistently across the University system. The University has adopted a 100-400 point numeric rating scale. RATINGS MAY BE IN WHOLE NUMBERS ONLY (NOT FRACTIONS OR DECIMALS).
- d) Dispute Resolution Process—A uniform Dispute Resolution Process will be followed system-wide and the campuses may not modify the process. (For details, see Attachment B).
- e) Performance Evaluation Entries to Payroll System - Campus and System Administration units enter the numeric score achieved (between 100 and 400 points) into the human resource database. The descriptive rating (Level 1, Level 2, Level 3, or Level 4), is automatically completed based upon the score entered.
- f) Compensation Objectives—System-wide objectives will be considered when determining performance salary adjustments.

2. Elements for Which Campus Discretion May Be Exercised

Certain plan elements are recommended for use as campus prerogatives, with system-level guidance, to serve the unique culture and management needs of each campus.

To ensure that any campus-customized elements reflect the intent of the system-wide Program and remain compliant with statewide requirements, any campus-unique modifications must be approved by the Associate Vice President for Human Relations and Risk Management.

- a) Modifications to the Performance Management Process—with the exception of the “Supervisor Accountability Provision” that was adopted as regent policy and the uniform “Dispute Resolution Process,” campuses may request approval to modify the prototype performance management process. However, such modifications may not conflict with the basic structure and intent of the prototype system-wide performance management process.
- b) Modifications to the “Performance Planning and Evaluation Form” and/or “User Guide”—Campuses may request approval to modify the standard version of the performance planning and

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

evaluation form, and/or the prototype User Guide, provided such modifications do not conflict with the basic structure and intent of the prototype system-wide form.

- c) Performance Salary Adjustments—Each campus chancellor may exercise her/his delegated personnel authority and budget flexibility to establish, within ranges established by the state, campus-specific guidelines for the percentage aspects of performance salary adjustments.
- d) Training Materials—Campuses must provide mandatory supervisor training programs, but may select the media and customize the training materials to best serve the learning styles and information needs of supervisors at the individual campus.

III. MANAGING PERFORMANCE AT THE UNIVERSITY

A. General Outline of the Performance Management Process at the University of Colorado

The University's process for managing classified staff performance, referred to internally as "CU Performance Management Program," is a comprehensive performance planning and evaluation system that is active throughout the entire year, not merely at a single point in time when an employee is evaluated. It is a collaborative enterprise that engages supervisors and employees in mutual dialogues through which performance goals and expectations are developed. It provides a linkage between an employee's performance and any individual performance salary adjustments for which s/he may be eligible, although no performance salary adjustments are guaranteed. As indicated previously, a campus may make approved modifications to aspects of this prototype performance management process (with exceptions such as the Supervisor Accountability Provision, the Dispute Resolution Process and the use of the 100-400 point rating scale) and/or may customize the prototype planning, coaching and evaluation forms to increase managerial flexibility.

However, no campus changes may materially alter either the scope or the intent of the system-wide CU performance management process. The performance management system at every campus consistently includes:

1. Performance Planning: A planning session between the supervisor and employee near the beginning of the performance cycle to create performance expectations and a performance plan that is consistent with the Position Description Questionnaire (PDQ) and linked to the mission of the unit and the strategic goals of the campus and; to identify what to assess and whether to use subjective or objective assessments; and to establish the assessment tools and measurement standards.
2. Coaching: At least one documented Coaching and Progress Review session, including adjustment of the plan, if appropriate, is mandatory.
3. Performance Evaluation (Rating): A process that includes preparation by the evaluating supervisor (Rater) and employee for the performance appraisal; Rater completion of the performance evaluation form and accompanying narrative comments; a formal evaluation

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

session with discussion of the rating between the Rater and employee; and signoff on the evaluation by the employee and Rater.

4. Review of the rating recommended by a supervisor: The Rater's evaluation of an employee's performance must be reviewed by the individual at the next-higher level in the chain of command (or that person's designee) (Reviewer) before it is communicated formally to the employee.

NOTE: Raters should plan final performance reviews so that Reviewers and employees have at least five business days, each in succession, to review evaluations, before evaluations are due. See section "G." below for additional information on evaluation sequence.

5. Dispute Resolution Process: A formal review process for those items that may be disputed and suggestions for preliminary steps to avoid disputes.

6. A general description of how the performance salary adjustment decisions will be made.

B. Linkage of the Performance Management Process to the University's Mission and Strategic Goals

The President, in consultation with the chancellors, articulates a vision for the University of Colorado System and each campus (as well as the System Administration) and develops goals and strategies to achieve this system-wide vision.

The CU performance management process explicitly links an employee's performance plan to the University's strategic vision by aligning the employee's performance goals with the campus goals. This alignment enables supervisors to measure an employee's performance contributions not only in terms of skills, competencies, and outcomes and how her/his individual position contributes to achieving the goals of the work unit, but also in terms of a positive contribution to the strategic direction of the campus.

The appropriate campus mission statement (or, for System Administration, its role statement), as well as the most current campus strategic goals, will be preprinted on the "Performance Planning and Evaluation" form to facilitate making this linkage.

C. CU Performance Planning and Evaluation Cycle

For years 2004-2005, the University's performance evaluation cycle began on March 1, 2004, and will conclude on February 28, 2005. For plan years 2005-2006, the evaluation cycle will begin on March 1, 2005, and conclude on March 31, 2006. Thereafter, performance evaluation cycles will run from April 1 through March 31 of each subsequent year, or as otherwise prescribed by the State Personnel Director through promulgated rule or procedure.

All University classified staff employees will be evaluated, in writing, at least annually based on their job performance during the previous year. The evaluation cycle is uniform system-wide. In the case of new employees, whether by new hire, promotion or transfer, the supervisor must

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

meet with the employee to develop a performance plan within 30 calendar days of the hiring, transfer or promotion date.

If an employee is hired less than 30 days from the end of any given evaluation cycle, the supervisor must develop a performance plan for the new employee. However, in this circumstance the supervisor may develop the performance plan based solely upon core competencies. The supervisor must also conduct at least one coaching session with the new employee before the end of the evaluation cycle and the new employee must be evaluated based upon work performance through the end of the evaluation cycle.

D. Performance Management Forms

The University has designed three standard forms for use system-wide to document performance management activities by supervisor and employee:

1. Planning Evaluation Form. This form documents each step of the performance planning and evaluation process, including recording the performance goals and/or objectives, determining the measures of results, and assigning relative weights to each goal and/or objective. This form contains the 100-400 point rating scale and indicates that range of points that result in each of the rating levels. The form includes space to document all relevant sessions that include the employee and supervisor and requires signatures of both the employee and supervisor at each step of the performance management process. The form also documents the next-level review and the employee's agreement or disagreement with the plan and/or the final overall performance evaluation rating.

This format also incorporates the uniform core competencies, defined by the State Personnel Director , which must be included in every classified employee's performance plan.

2. Mandatory "Coaching and Progress Review" form.

3. Dispute Resolution Process "Request for Internal University Review" form.

E. CU Performance Rating Levels

Performance plans are developed and evaluations conducted using four performance levels. A 100-400 point rating scale will be employed and is preprinted on the performance planning and evaluation form. The numeric scale specifies the sub-ranges within the scale that convert to state-defined performance rating levels, as follows:

Level 1	Unsatisfactory	100-180 points
Level 2	Satisfactory	181-280 points
Level 3	Above Standard	281-360 points
Level 4	Outstanding	361-400 points

The University will not direct any campus as a whole, or any specific campus unit, to determine employee ratings according to a quota or forced distribution of ratings, i.e., to achieve a

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

predetermined number of employee ratings at each performance level (for definitions of rating levels, see Table 1, above).

F. Independent Review of Ratings for Quality Assurance

Before the final overall performance rating is formally presented to and discussed with the employee, it must first be reviewed by the Reviewer, or the Reviewer's designee. The final overall performance rating must be signed by the Reviewer before the employee receives her/his final overall performance rating.

The review process is not interpreted to be a means of adjusting ratings for reasons of funds availability, forced distributions, or any other factor that is not directly related to the appropriateness and completeness of the performance planning and evaluation process. However, a Reviewer may require a Rater to change a rating based on issues relating to fairness and consistency, or any other reasonable basis as deemed necessary by the Reviewer. If a Reviewer requires that a Rater change a rating, such decision must be documented with information that justifies the decision and written notice of the changes must be given to the employee.

In the event that an employee has more than one supervisor during the course of the evaluation cycle, each supervisor must complete a close-out evaluation for the employee so that the employee's final overall evaluation score may be determined by an average of evaluation scores prorated by the amount of time the employee worked under each supervisory authority. The supervisor who supervises the employee at the close of the evaluation cycle is responsible for gathering all close out evaluation(s) from past supervisor(s) for that evaluation cycle and determining the employees' final overall evaluation score.

IV. SUPERVISOR ACCOUNTABILITY

A. Mandatory Supervisor Training

The University has developed a detailed training program to comply with the mandatory supervisory training requirement of the State Performance Management System. Supervisors will be required to participate in either on-line training (Web based modules), campus-based classroom instruction, or self-directed review of instructional materials.

1. Web-Based "Core Concepts" Training for Supervisors

Performance Management Program training for supervisors at all campuses of the University will be available through a self-paced, modular, web-based training program available at any time to persons using desktop computers for access. The web-based training will present instruction about "core" concepts of performance management and the Program and will provide competency testing to assist individuals in assessing their progress. The course content may be studied in modules and completed as time permits so that pacing will be at the

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

individual's speed. The log-on I.D. required to enter the web site will provide a verifiable record that a supervisor has accessed the training.

2. Additional Training Opportunities for Supervisors and Employees

The University foresees that individual and group training will continue as it has in the past, using regularly scheduled classroom training, one-on-one training upon request of organizational units, access to printed materials, and customized, in-depth training about specialized topics related to performance management, such as writing goals and objectives.

In addition, classroom-based training will remain the sole training delivery mode for non-English speaking supervisors and employees.

B. Completion of Supervisory Duties Related to the CU Performance Management Program in a Timely Manner

On January 18, 2001, the Board of Regents of the University of Colorado adopted a "Supervisor Accountability Provision" as Regent Policy 11.F.3 and demonstrated the governing board's support of the State requirement that all supervisors perform the responsibilities associated with the Performance Management Program in a timely manner that does not disadvantage the employee supervised.

The Board-approved "Supervisor Accountability Provision" applies to all supervisors – whether classified staff, exempt personnel, faculty, or officers. It requires that:

1. All supervisors must have a provision or "factor" in their own performance plans that measures and evaluates the effectiveness of their performance management of subordinate employees. Fulfillment of supervisory activities shall be reflected in the performance evaluations of supervisors.
2. Supervisors' successful completion of performance management activities within the timelines of the University's performance management cycle will be tracked.
3. Sanctions will be applied to non-compliant supervisors.

Specific steps in the tracking process, deadlines, and details of the sanctions are described in the complete document that is provided as Attachment A to this plan.

C. Employee "Fail Safe" if Supervisor Fails to Perform Performance Management Duties

The University believes that an employee deserves to be evaluated upon actual performance, and should not be disadvantaged by the supervisor's failure to comply with the statutory requirements of the State performance management system.

If a supervisor fails to plan and/or evaluate an employee's job performance, the supervisor is subject to application of the sanctions described in the "Supervisor Accountability Provision,"

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

and the next-higher level superior is responsible for completing the plan and/or final overall performance evaluation. This responsibility will be transferred upward through as many successive levels of the organization as are necessary to ensure that an annual evaluation is completed and an “earned” rating is assigned prior to June 1 each year. However, if a performance evaluation is not completed within the specified time, the employee will be given a default rating of Satisfactory (Level 2) pursuant to procedures established by the State Personnel Director.

As the responsibility is transferred upward through the organization, any responsible individual at a successively higher level who also fails to complete the evaluation also shall be subject to the sanctions contained in the “Supervisor Accountability Provision.”

(Lacking any other performance-related information, if a higher-level supervisor must provide the performance rating, in lieu of the more-qualified rater (the immediate, but non-compliant, supervisor), s/he may take into consideration the employee’s prior performance rating, especially if the prior rating was higher than Level 2.)

V. CONSEQUENCES FOR EMPLOYEES RECEIVING AN UNSATISFACTORY (LEVEL 1) RATING

If a classified employee receives a final overall performance evaluation of “Unsatisfactory “ (Level 1 rating), the appointing authority has the following options: (1) a performance improvement plan or (2) an immediate corrective action (in compliance with the state personnel administrative rules in effect at the time).

A. Improvement Plan

An improvement plan is not considered a corrective or disciplinary action.

If an improvement plan is provided to the employee rated at Level I for the prior evaluation period, it will contain specific actions and behaviors that the employee is expected to demonstrate, consequences for failing to meet these expectations, specific target and checkpoint dates, etc. The improvement plan must be achieved within a reasonable length of time and that must be documented by a reevaluation. If the expected improvement is not achieved, a corrective action will be issued.

B. Corrective Action

In the case of proceeding immediately to a corrective action, the University will comply with the appropriate State Personnel Rules, including notification of grievance rights.

VI. PERFORMANCE SALARY ADJUSTMENTS

A. Policy Considerations

See Section II.B.1(f) and II.B.2 (c).

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

B. Budgeting Funds for Performance Salary Adjustments

Colorado public colleges and universities do not receive a line-item appropriation (the so-called “central pots” funding) for any mandated classified staff salary expenditure, including performance salary adjustments. Instead, the University must budget an amount at each campus sufficient to meet State requirements for classified staff costs and generate enough revenue (from general funds, tuition, and other cash sources) to cover these expenses.

The University will budget a total amount at each campus for performance salary adjustments that is consistent with the state guidelines for any given fiscal year. The University has communicated to its classified staff employees that all performance salary adjustments are subject to available funding and no adjustment will be guaranteed.

C. Determining Values of Performance Salary Adjustment Percentages

Prior to the payment of annual performance salary adjustments, the Director of the Department of Personnel and Administration shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding.

Based upon such published percentage ranges, the percentage values for each rating level will be determined after the results of the performance ratings for the most recent evaluation cycle are available and according to the following steps:

1. Determine the funds available for allocation as performance salary adjustments;
2. Determine the distribution of actual employee performance ratings at each rating level;
3. “Fit” the ratings distribution to the available funds, thereby determining the percentage values for each rating level.
4. Prior to the payment of annual performance salary adjustments, the Director of the DPA shall specify and publish the percentage ranges for performance levels based on the available statewide performance pay funding.

D. Individual Performance Salary Adjustments

Individual performance salary adjustments will be expressed as a percentage of salary and will be effective on the statewide common date of July 1. Individual salary adjustments will be subject to the following state requirements:

1. Mandated Base Salary Adjustments—As stated previously, an employee’s base salary will be adjusted for any applicable mandated increases before the performance salary adjustment percentage is applied. The test to determine if the employee is below or above the pay range maximum will be based on the adjusted base salary.

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

2. Performance Salary Adjustment Limitations

- a) No base building adjustment may be granted that results in a base salary that exceeds the pay range maximum.
- b) Only Level 4 performers, may be granted a one-time, non-base building adjustment above the pay range maximum.

F. Performance Salary Adjustment Notification to Employees

Consistent with statewide guidelines, the University will provide each classified employee with written notification of her/his performance salary adjustment, if any, expressed as a percentage of her/his salary. The notice will indicate whether the adjustment is base building, non-base building or a combination; and, in the case of base building adjustments, the amount of the new (increased) monthly salary effective July 1.

G. Payment of Performance Salary Adjustments

Base building performance salary adjustments are reflected beginning with the end-of-July paycheck.

The University will pay non-base building performance salary adjustments as a one-time payment not later than July 31.

If an employee terminates employment with the University prior to July 1, any base or non-base building performance salary adjustment will be forfeited.

The University will withhold all normal deductions (including the employee's PERA contribution) and taxes from both types of performance salary adjustments. The University and its classified employees understand that both base-building and non-base building adjustments will be counted by the Public Employee's Retirement Association (PERA) in the computation of the employee's Highest Average Salary.

VII. DISPUTE RESOLUTION

The University acknowledges that the State Personnel Director retains jurisdiction for disputes related to performance evaluations that do not result in corrective or disciplinary action and that the State Personnel Director has developed a formal Performance Management dispute resolution process, including establishment of timelines regarding the deadlines for filing and completion of the process.

The University's Dispute Resolution Process will be uniform at all campuses and may not be modified. The process, described in detail in Attachment B, specifies all aspects of the internal review stage, including time limits for filing written requests, who will review and decide disputed issues, and time limits for the appointing authorities (or designees) to issue written notice of the decisions—as well as information about the conditions under which employees may

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

advance disputes for external review by the State Personnel Director. Campuses may choose to pre-print the major steps and deadlines of the Dispute Resolution Process on the “Planning and Evaluation” form.

The University’s formal dispute resolution process includes two stages—the first stage is internal to, and conducted by, the University; the second stage is external and conducted by the Department of Personnel and Administration (DPA). The University’ process makes clear which types of decisions are final upon completion of the internal stage.

Highlights of the University’s “Dispute Resolution Process” include:

1. Explicit encouragement of informal resolution of disputes at the lowest level, preferably between the employee and the supervisor prior to and without the need for recourse to, the formal internal process.
2. Explicit requirement that all reviews and decisions be open and impartial, and that the parties are allowed an opportunity to have issues heard.
3. Express statement prohibiting retaliation against anyone involved in a good-faith dispute.
4. Clear definition of the types of issues that are and are not disputable.
5. A provision of the internal dispute resolution process to ensure that the employee is notified, at the time of her/his final overall performance evaluation, about the internal dispute process (including timelines and the name or position of the appointing authority (or designee) who will review the dispute).
6. Clear specification that final resolution of issues concerning the individual’s performance plan (or lack of plan) and the individual’s final overall performance evaluation shall occur at the internal level and that employees will have no further recourse for resolution of these disputes.
7. Clear specification that appointing authorities or their designees will resolve the disputes and provision for appointing authorities to delegate this authority in writing and in advance of the evaluation cycle (i.e., prior to April 1 annually).
8. Clear explanation of the prerogatives appointing authorities (or their designees) may exercise (e.g., instruct Raters to follow the department or higher education institution program, correct errors, reconsider a performance rating or plan, suggest other appropriate processes such as mediation, etc.).
9. Explicit directions that employees are given written notice that they may, after completion of the internal process, submit a written request to the Director (external process) provided it concerns the application of the department or higher education institutions’ performance Management program or full payment of a reward (if relevant). Notice is defined to include deadlines for filing; a list of what must be included in the request, and the address for filing.

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

10. Clear explanation of how external review by the State Personnel Director can be pursued, including deadlines for making a written request, supporting documentation needed, and clarification that only disputes concerning application of the department or higher education institution's performance Management program, policies or processes, or full payment of a reward (if relevant) may proceed to the Director (external process) and only after completion of the internal process.

11. Reinforcement that only issues originally presented in writing shall be considered throughout the dispute resolution process, at either the internal or external level.

12. Clear explanation that no parties have an absolute right to legal representation, but may have an advisor (as defined by the State Personnel Director) present, and are expected to represent and speak for themselves.

VIII. QUALITY ASSURANCE

As necessary, a system-wide group of university officers will be designated to review the quality of the University's Performance Management Program, including an analysis of the distribution of performance ratings and performance salary adjustments within the University.

IX. RECORD KEEPING AND REPORTING RESULTS

A. Quantitative Information

The University will collect sufficient data to be able to evaluate the effectiveness of the CU Performance Management Program, to monitor its compliance with statewide guidelines and to report, for the CU System as a whole, appropriate quantitative information requested by the State Personnel Director about supervisor training, employee performance rating, performance salary adjustments, or dispute resolution

B. Qualitative Outcomes Evaluation

The University acknowledges the program evaluation strategies recommended by the State Personnel Director, such as surveys to measure improved quantity and quality of performance, improved "stakeholder" (employee, supervisor, and management) satisfaction, improved customer services, positive cost/benefits, and improved employee retention. The University will study the various qualitative tools that it might employ to meet this evaluation expectation.

C. Reports to the Governing Board and the University Community

The University will report the overall performance salary adjustment distributions for each campus and for the CU system as a whole to its Board of Regents, in the format requested by the governing board, to assist the Board in its fiduciary responsibility.

The University also will employ the appropriate communication tools to inform the University community about the overall results of each CU performance management cycle.

**University of Colorado Performance Management Program
(Amended December 16, 2004)**

Attachment A
DRAFT UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM
SUPERVISOR ACCOUNTABILITY PROVISION

The State of Colorado Performance Management System for classified employees expects that supervisory accountability will be a part of each agency or higher education institution's performance management program. The recommended accountability provisions are: to list and to apply sanctions for noncompliance. The State guidelines stress that every supervisor of classified staff is to be held accountable for complying with the performance Management system, and that this concept is particularly important in higher education institutions where the supervisor may be another classified staff employee, but frequently is a faculty member, officer, or exempt employee.

I. ASSUMPTIONS AND GUIDING PRINCIPLES:

A. All supervisors of classified staff at the University of Colorado are responsible for completing performance plans, conducting at least one performance coaching session, and completing a written performance evaluation annually for each classified staff employee they supervise.

B. For purposes of this provision, "supervisor" shall mean that individual who has been designated within the academic or non-academic unit (the "unit") to carry out the performance planning, coaching, and evaluation duties for a particular classified staff employee. There may be multiple supervisors within a unit based on the number of classified staff employees and the organizational structure of the unit.

C. Based on the needs of the unit, a supervisor may be selected from any personnel category at the University: faculty, officers, exempt personnel, or classified staff. At the Health Sciences Center, supervisors may also include employees of University Physicians, Inc. or of University of Colorado Hospital. In some special cases, employees of other entities affiliated with the University of Colorado may supervise the University's classified employees.

D. Successful fulfillment of supervisory responsibilities, especially the completion of the performance management activities outlined in section "I.A." of this attachment shall be reflected in the performance evaluations of any individual who supervises classified staff employees as follows:

1. Classified Staff Supervisors: It should appear as a distinct goal or objective in the performance plans of any supervisor who is a classified staff employee.

2. All Other Supervisors: It should constitute an explicitly discussed consideration in performance expectations for any faculty member, officer, or exempt staff member who is a supervisor of classified staff.

Attachment A
DRAFT UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM
SUPERVISOR ACCOUNTABILITY PROVISION

II. PROCESS FOR TRACKING SUPERVISORY COMPLIANCE

A. The Tracking Process Is Related to the University's Annual Performance Management and Performance Evaluation Cycle

1. It is essential that annual performance evaluations of classified staff be completed by supervisors in a timely and uniform manner university-wide. Therefore, a uniform process for tracking supervisory compliance, with performance management program duties described in section "I.A." of this attachment will be followed at all campuses and the system administration of the University. (At the chancellor's discretion, individual campuses may include additional procedural steps provided they are performed within the schedule defined for the tracking process in section "II.B.2." of this attachment).

2. The timeline for the classified staff performance evaluation cycle is:

- April 30: Deadline by which performance plans for all classified staff must be in place for the evaluation period March 1, 2005 through February 28, 2006.
- May 1: Deadline by which performance evaluations for the period from March 1, 2004 through February 28, 2005, must be completed, reviewed at the next highest level in the organization, and submitted to the campus Human Resources department.
- July 1, 2005: Date on which any performance adjustments are effective for eligible employees, based on the result of the performance evaluation, applicable State and University compensation policies, and availability of funds.

B. Steps in the Process for Tracking Supervisory Compliance

1. Specifying the expected duties of individuals who supervise classified staff

a. Classified Staff Supervisors: The performance plans of all supervisors who are classified staff shall contain at least one distinct goal or objective outlining supervisory duties, including an explicit definition of the performance management responsibilities outlined in section "I.A." of this attachment.

Between April 1 and April 30 each year, campus Human Resources offices shall verify (according to a process determined by the campus) that the performance plans of all classified staff supervisors contain a goal or objective concerning responsibilities under performance management. The campus Human Resources departments will notify the appointing authority for the academic or non-academic unit if any classified staff supervisor's performance plan needs to be modified to include this explicit supervisory objective.

Attachment A
DRAFT UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM
SUPERVISOR ACCOUNTABILITY PROVISION

b. All Other Supervisors: Specific discussion of the activities included in the supervision of classified staff will occur as part of the process in which faculty expectations are discussed with the department chair and/or dean, or during the appropriate period in which annual performance planning for officers and exempt personnel occurs.

2. Tracking to make sure that supervisors have successfully completed performance evaluations of classified staff employees

a. The tracking process consists of three steps:

(1) a proactive, advance reminder of the due dates by which supervisors must complete written performance evaluations for classified staff whom they supervise;

(2) a “final notice” to deans, vice chancellors, and other officers who are appointing authorities about performance evaluations that are outstanding, and the sanctions that they must then apply to supervisors who remain delinquent in completing the evaluations;

(3) the application of specific sanctions to supervisors who are out of compliance.

b. In January each year, the campus Human Resources department will send out appropriate campus-wide reminders about the deadline for completing evaluations of classified staff employees’ performance during the prior appraisal year (i.e., April 1 to March 31), including review of these evaluations by the next-highest level individuals and the submission of the written evaluation documents to the campus Human Resources department.

c. No later than May 30 of each year, the campus human resources department will provide a “final notice” to the appropriate deans, vice chancellors, or other officers who are appointing authorities.

(1) Such notice will identify classified staff employees for whom a performance evaluation has not been submitted and will list the supervisor believed to be responsible for completing the evaluation.

(2) Such notice will indicate that, absent extraordinary circumstances, the supervisor must complete the delinquent evaluation not later than June 15.

(3) Such notice will indicate that sanctions must be imposed for a supervisor’s failure to complete the performance evaluations including: for classified supervisors a corrective action, five-day unpaid suspension, and ineligibility for a performance salary adjustment; and for faculty, officers, and exempt staff supervisors a disciplinary action, five-day unpaid suspension, and potential impact on salary merit increases.

Attachment A
DRAFT UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM
SUPERVISOR ACCOUNTABILITY PROVISION

C. Applying Sanctions to Non-Compliant Supervisors

1. Classified Staff Supervisors: Absent any extraordinary circumstances, classified staff supervisors who have not completed evaluations for the classified employees whom they supervise by May 31:

a. Shall receive an immediate corrective action, effective June 1, with terms and conditions governed by the *State Personnel Rules*; and

b. Will be ineligible for a performance salary adjustment. Even if the classified staff supervisor receives an overall performance rating that is higher than Level 1, s/he may not receive a performance salary adjustment if the supervisory duties cited in section “I.A.” of this attachment have not been fulfilled within the timeframe described in this supervisor accountability provision.

c. If, within 30 days of the corrective action, supervisors have still not completed an evaluation, they will be placed on a five-day unpaid suspension (In addition, State law requires that all supervisors must complete evaluations by July 1 or face further sanctions).

2. All Other Supervisors: Absent any extraordinary circumstances, faculty, officer, or exempt staff supervisors who have not completed evaluations for the classified employees whom they supervise by June 15:

a. Shall receive a disciplinary action from the dean (for faculty) or from the appointing authority (for officers and exempt personnel):

(1) For faculty supervisors: Disciplinary action by the dean shall be for “neglect of duty.” The specific nature of the disciplinary action shall be the prerogative of the dean.

(2) For officers and exempt personnel supervisors: Disciplinary action by the appointing authority shall be for “neglect of duty.” The specific nature of the disciplinary action shall be the prerogative of the appointing authority.

b. Such disciplinary action will be effective as of June 1.

c. Further disciplinary action shall include suspension from work without pay for a period of not less than one work week if faculty, officer, or exempt staff supervisors have still not completed evaluations on or before June 30.

d. The continued failure to complete evaluations for classified staff may affect the annual merit increases for faculty, officers, or exempt staff supervisors.

(See also Regent policies 11-F.1 and 11-F.2.)

Attachment B
UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM

DISPUTE RESOLUTION PROCESS

In some cases, employees classified in the state personnel system may question or disagree with matters regarding their performance plans and/or final overall performance evaluation ratings. Therefore, the State Personnel Director has established a formal dispute resolution process to resolve contested performance management program and performance salary adjustment issues as quickly and efficiently as possible.

The formal dispute resolution process defined by the State Personnel Director consists of two stages: internal and external. The internal stage occurs within the University; the State Personnel Director administers the external stage. (Specific details are explained below in “Stages in the Dispute Resolution Process.”)

The University of Colorado Dispute Resolution Process conforms to the State Personnel rules and procedures that prescribe which issues may be disputed and the timeframes for filing disputes and rendering decisions. The State Personnel Director will have approved this process in advance of it being applied at the University.

A. Guiding Principles:

The dispute resolution process is intended to be an open, impartial process that allows the parties an opportunity to have issues presented. The process is not intended to be adversarial. Rather, it encourages dialogue and communication to resolve problems. In addition, a dispute resolution process can be structured to preserve working relationships and promote quality assurance in performance planning and evaluation.

The dispute resolution process is a non-adversarial administrative procedure. Therefore, no party has an absolute right to legal representation. The parties normally are expected to represent and speak for themselves about matters related to performance management and evaluation. However, any party may have an advisor present. (An “advisor” is defined in the State personnel rules and administrative procedures as an “individual who assists a party during a grievance or the performance management review process by explaining the process, helping identify the issues, preparing documents, and attending meetings”(P-12-1).

Retaliation against any person(s) involved in the Dispute Resolution Process is prohibited. For purposes of the University’s Dispute Resolution Process internal stage, retaliation means any adverse action against individuals because they have, in good faith, initiated a request for review of a disputable issue related to a performance plan or final overall performance evaluation and/or have participated in the process to resolve the dispute.

B. Disputable Issues

The State Personnel Director retains jurisdiction for disputes related to performance evaluations that do not result in corrective or disciplinary action. Therefore, the Director has the authority to define the specific performance management program matters that may be disputed by an employee and to specify the stages (levels) at which these matters will be reviewed.

Attachment B
UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM

DISPUTE RESOLUTION PROCESS

The Director has determined that only the following matters may be disputed and reviewed as part of the dispute resolution process:

1. The individual performance plan, including lack of a plan during the performance planning cycle.
2. The individual final overall performance evaluation rating, including lack of a final overall rating;
3. The application of the University's performance management program (or an approved campus modification of the program) to the individual employee's plan and/or final overall performance evaluation; and/or
4. Full payment of the Performance Salary Adjustment.

The first two issues must be decided at the first stage and are not reviewable further. Issues 3 and 4, if not resolved at the agency or higher education institution level, are reviewable at the second stage.

The following matters may not be disputed and are not subject to consideration in the dispute resolution process:

1. The content of the University's performance management program (or an approved campus modification of the program);
2. Matters related to the funds appropriated for performance salary adjustments;
3. The performance evaluations and performance salary adjustments of other employees; and
4. The amount of an individual's performance salary adjustments, unless the issue involves how the University's program is applied and is covered by the third disputable issue.

C. Stages in the Dispute Resolution Process

The formal dispute resolution process defined by the State Personnel Director consists of two stages: internal and external. The internal stage is conducted by, and occurs within, the University and may include review of any or all of four disputable issues listed previously. The external stage is administered by the State Personnel Director and review at this stage is limited to two issues only: (1) the application of the University's performance management program (or an approved campus modification of the program) to the individual employee's performance plan and/or final overall performance evaluation and/or (2) full payment of the performance salary adjustment.

Attachment B
UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM

DISPUTE RESOLUTION PROCESS

Final resolution of issues concerning the individual's performance plan (or lack of plan) and the individual's final overall performance evaluation—items #1 and #2 above, will occur at the internal stage (within the University) and employees will have no further recourse for resolution of disputes related to these matters.

Disputes concerning application of the University's performance management program (or an approved campus modification of the program) and/or full payment of a performance salary adjustment (if relevant) may proceed to review by the state personnel director (external stage) – but only after completion of the internal (University) stage.

1. Internal Stage: University Of Colorado

The internal dispute resolution process for the University of Colorado will be uniform across all campuses and in System Administration.

Every effort should be made by the employee and rater (normally the employee's supervisor) to resolve the issue at the lowest possible level. Informal resolution – between the employee and her/his supervisor— is strongly encouraged before an employee initiates a formal dispute. That is, it is assumed that the employee and her/his supervisor will have discussed and attempted to resolve any disagreements or concerns during the meeting at which the supervisor formally presents the employee with her/his final overall performance evaluation.

a. Decision Makers for the Internal Stage

Due to the size and complexity of the University's multi-campus system, the President has delegated appointing authority to the campus chancellors and the chancellors have delegated various degrees of appointing authority downward throughout the campuses' organizational structures.

For purposes of the University's Performance Management Program Dispute Resolution Process, the chancellors have delegated (in writing) the decision-making authority to resolve CU Performance Management Program disputes to appointing authorities (or designees) within the campus. This particular delegation of authority for CU Performance Management Program dispute resolution, and any annual changes to the delegation, is made no later than the last day of March in order to be in effect prior to the period during which employee performance evaluations are conducted. For System Administration employees classified in the state personnel system, the appointing authority's designee for the dispute resolution process is the Associate Vice President for Human Relations and Risk Management.

The written delegation includes the provision that, if the appointing authority (or designee) is also responsible for rating one or more employees classified in the state personnel system, the delegated decision-making authority shall revert to the next-highest level so that the rater will not be the decision-maker in the event of a dispute.

Attachment B
UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM

DISPUTE RESOLUTION PROCESS

The role of the appointing authority (or designee) is to review the information presented, to address facts surrounding the disputed issues, and to render an impartial decision. . However, the appointing authority may not render a decision that would alter the University's (or approved campus-customized) performance management program, policies, and processes. In reaching a decision to resolve the dispute, the appointing authority (or designee) has the authority to instruct a rater to: (1) follow the University's (or approved campus-customized) performance management program, (2) correct an error, (3) reconsider a final overall performance evaluation; (4) suggest other appropriate processes such as mediation; or (5) require the rater to change an employee's performance rating

b. Procedural Steps in the Internal Stage:

The employee must initiate the internal review process by requesting a review of the disputable issue or issues in writing. The request must be submitted on the standard University form for this purpose. A copy of the form is attached to this plan.

The written request must be filed within five (5) working days after the meeting at which the rater (normally the employee's supervisor) formally presents the employee with her/his final overall performance evaluation and during which the employee and rater discuss the performance rating.

The request must be submitted to the appointing authority (or designee), whose name will be provided to the employee by the rater when both parties sign the cover sheet of the "Performance Planning and Evaluation Form." Copies of the written request must be submitted to the supervisor and to the campus Human Resources Department.

Within five (5) working days after the request is received by the appointing authority (or designee), unless there are mitigating or extenuating circumstances that impede meeting this deadline, the appointing authority (or designee) must meet with the employee, the rater (normally the employee's supervisor) and, as far as is practicable, with any others whom the employee and/or the rater deem to have pertinent information. Regardless of the number of parties involved, the appointing authority (or designee) remains responsible for scheduling the meeting(s) with the affected parties and for adhering to the schedule for completion of the review.

Within five (5) working days after all necessary meetings are conducted, unless there are mitigating or extenuating circumstances that impede meeting this deadline, the appointing authority (or designee) must render a written decision. In making the decision, the appointing authority (or designee) is limited to considering only those issues described earlier as disputable issues.

c. Written Notices

Attachment B
UNIVERSITY OF COLORADO SYSTEM
PERFORMANCE MANAGEMENT PROGRAM

DISPUTE RESOLUTION PROCESS

Within five (5) working days of completion of the internal stage, the appointing authority (or designee) will provide a written notice of the decision to the employee and will submit a copy of the decision to the campus Human Resources Department.

The employee will also receive a written notice explaining that s/he may submit a written request to the State Personnel Director for further (external) review, provided the original dispute concerned either (a) application of the University's performance management program (or an approved campus modification of the program); and/or (b) full payment of a performance salary adjustment. This notice will indicate the address to which the written request for external review should be mailed.

2. External Stage: State Personnel Director

An employee may request review by the State Personnel Director. However, only the original issues involving (1) the application of the University's performance management program (or an approved campus modification of the program) to the individual employee's plan and/or final overall performance evaluation and/or (2) full payment of the performance salary adjustment may advance to the external stage for review by the State Personnel Director. And, these issues may not advance to the State Personnel Director until they have been reviewed at the internal (University) stage and an internal decision has been rendered.

An employee must file a written request for external review with the State Personnel Director within five (5) working days from the date the internal (University) decision is received. A copy of this written request also must be sent to the campus Human Resources Department.

The written request for external review by the State Personnel Director must include: (1) a copy of the original written performance management issue(s) raised by the employee (i.e., the form submitted by the employee to the appointing authority); and (2) the final written decision from the internal review stage.

All requests for review by the State Personnel Director are subject to an initial screening to determine if review is warranted. Such screening shall be based on specific criteria established by the State Personnel Director. If determination is made that further review is not warranted, such decision is final and binding and the employee will be notified accordingly.

If further review is warranted, the Director, or designee, shall select a qualified neutral third party. The neutral third party has 30 days to issue a written decision, which is final and binding.

**UNIVERSITY OF COLORADO PERFORMANCE MANAGEMENT PROGRAM
DISPUTE RESOLUTION PROCESS**

REQUEST FOR INTERNAL UNIVERSITY REVIEW

Retaliation against any person(s) involved in the Dispute Resolution Process is prohibited.

DATE: _____

EMPLOYEE'S NAME:

JOB TITLE:

DEPARTMENT:

PERSON WHO COMPLETED MY PERFORMANCE PLAN OR FINAL OVERALL
PERFORMANCE

EVALUATION: _____

I wish to have the following reviewed:

____ 1. My performance plan or lack of a plan. I believe the error or problem is:

____ 2. My final overall performance evaluation. I believe the error or problem is:

____ 3. The application of the CU Performance Management Program to my plan or final overall
performance evaluation.

I believe the error or problem is:

____ 4. Full payment of my performance salary adjustment. I believe the error or problem is:

To resolve this issue, I have taken the following actions:

**UNIVERSITY OF COLORADO PERFORMANCE MANAGEMENT PROGRAM
DISPUTE RESOLUTION PROCESS**

REQUEST FOR INTERNAL UNIVERSITY REVIEW

Retaliation against any person(s) involved in the Dispute Resolution Process is prohibited.

I request the following resolution:

EMPLOYEE'S SIGNATURE: _____

DATE: _____

For additional information, consult your supervisor or the Human Resources Department. Submit the original of this form to the appointing authority (or designee) whose name was provided by your supervisor during discussion of your final overall performance evaluation. Submit copies: (1) to your supervisor and (2) to the Human Resources Department.



University of Colorado at Denver and Health Sciences Center

PERFORMANCE MANAGEMENT PROGRAM Planning and Evaluation Form

(For instructions, see "User Guide")

Evaluation Period:	From <u>March 1, 2005</u>	To: <u>March 31, 2006</u>	Annual: <u> </u>	Other: <u> </u>
Employee:	_____		Employee I.D.	_____
Job Title:	_____		Pos. No.:	_____
Work Unit:	_____		Dept. No.	_____
Supervisor:	_____		Pos. No.:	_____
Reviewer:	_____		Pos. No.:	_____
Appointing Authority (or designee)	_____		Pos. No.:	_____

Performance Management Planning

The P.D.Q. (Job Description) for this position was reviewed and is current and accurate.		Supv. Initials: <u> </u>	Date: <u> </u>
This position supervises classified staff. A supervisory factor is included in the plan.		Yes <input type="radio"/>	N. A. <input type="radio"/>
Supervisor Signature:	_____	Date:	_____
Reviewer Signature:	_____	Date:	_____
Employee Signature:	_____	Date:	_____
I <u>agree</u> with this plan: <input type="radio"/>		I <u>disagree</u> with this plan: <input type="radio"/>	

Coaching and Progress Review Meetings

At least one coaching, or progress review, meeting is required for each evaluation period; more are recommended. Indicate the date each meeting was held. Both the supervisor and employee should initial next to each date. P. 7 of this form provides space for documenting the issues discussed during the meetings.			
Date: _____	Supervisor Initials _____	Employee Initials _____	
Date: _____	Supervisor Initials _____	Employee Initials _____	
Date: _____	Supervisor Initials _____	Employee Initials _____	

Evaluation Rating

Overall Rating for Evaluation Period:	Total Score	<input type="text"/>	Outstanding (Level 4)	<input type="radio"/>	Above Standard (Level 3)	<input type="radio"/>	Satisfactory (Level 2)	<input type="radio"/>	Unsatisfactory (Level 1)	<input type="radio"/>
Supervisor Signature:	_____					Date:	_____			
Reviewer Signature:	_____					Date:	_____			
Employee Signature:	_____					Date:	_____			
I <u>agree</u> with this evaluation: <input type="radio"/>			I <u>disagree</u> with this evaluation: <input type="radio"/>							

**Denver and Health Sciences Center
Campus Mission Statement/Strategic Goals**

- To become the premier urban research university with nationally ranked programs of teaching, clinical care and community service throughout Colorado.
- To provide access to higher education for undergraduate, graduate and professional students with increased multicultural diversity through recruitment and pipeline initiatives.
- To offer new interdisciplinary programs of education and research in the life sciences, professional programs and liberal arts.
- To become a more entrepreneurial university with two campuses in the Denver/Aurora metropolitan area and the state.
- To develop regional business and community partnerships that stimulate new programs and an improved economy.

The Mission of the Work Unit

The Role of This Position

The position's role in the accomplishment of the mission and objectives of the work unit and the campus is to:

(Use question #2, "Briefly summarize the purpose of this position," from the P.D.Q. or similar information from the job description.)

Key to Rating Levels

Definition of Level 4

This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher level management and others can readily recognize the level of performance.

Definition of level 3

This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

Definition of Level 2

This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

Definition of Level 1

This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

GOALS AND OBJECTIVES ASSOCIATED WITH SUCCESS IN THIS POSITION

"Goal or objective" is a specific statement or requirement. "Measurement method" reflects the evaluation basis for the expected results. "Results achieved" are the accomplishments of the employee during the evaluation period.

1	<u>Goal or objective:</u>	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
2	<u>Goal or objective:</u>	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
3	<u>Goal or objective:</u>	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
4	<u>Goal or objective:</u>	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
5	<u>Goal or objective:</u>	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		

(Use additional pages if more than 5 goals or objectives are defined.)

Include only if position supervises classified staff

<p align="center">6</p>	<p><u>SUPERVISOR ACCOUNTABILITY FACTOR/GOAL:</u> All supervisors of classified staff are responsible for:</p> <ul style="list-style-type: none"> • Completing performance plans • Conducting at least one performance coaching session per year • Completing a written performance evaluation for each classified staff employee <p>Supervisors who do not comply will be subject to sanctions including corrective action, ineligibility for a performance award, and/or a five-day unpaid suspension.</p> <hr/> <p>Measurement method (Pass/Fail):</p> <p>Completes performance plans for classified staff in a timely manner. Plans are in place for the evaluation period, which begins March 1st of each year. Plans are reviewed at the next highest level in the organization prior to submitting to the Center for Human Resources by due dates specified by the CHR Director.</p> <p>Conducts and documents performance coaching sessions with each classified staff employee</p> <p>Completes annual performance evaluations in a timely and uniform manner. Performance evaluations are reviewed at the next highest level in the organization prior to review with employee and submitted to the Center for Human Resources by due date specified by the CHR Director.</p> <p>All measurement components must be completed to achieve a passing rating. If any measurement component is not completed the rating will be "fail".</p>	<p>Results achieved:</p>	<p><input type="radio"/> Pass</p> <p><input type="radio"/> Fail</p> <p>OR</p> <p><input type="radio"/> Level 4: Outstanding</p> <p><input type="radio"/> Level 3: Above Standard</p> <p><input type="radio"/> Level 2: Satisfactory</p> <p><input type="radio"/> Level 1: Unsatisfactory</p>
--------------------------------	--	--------------------------	--

CORE COMPETENCIES

(For examples of Measurement Methods, see page 9.)

The following core competencies have been defined by the State Personnel Director for inclusion in the performance plans of every employee classified in the State Personnel System. Mastery of the core competencies will vary depending upon the background and duties of an employee. An overall score for each competency is required.

1	Communication: The employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and students and other external constituents so as to anticipate problems and ensure effectiveness of the University or campus.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
2	Interpersonal Skills: The employee interacts effectively with others to establish and maintain smooth working relations.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
3	Accountability: The employee demonstrates responsible personal and professional conduct, which contribute to the overall goals and objectives of the University or campus.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
4	Job Knowledge: The employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		
5	Customer Service: The employee works effectively with internal/external constituents to satisfy service expectations.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement method:</u>		

Instructions for Completing the Summary of Performance table:

For Performance Plan:

- On page 3, develop goals or objectives for the position and methods to measure results.
- On page 4, develop factors or other measurement methods for each of the state-mandated core competencies.
- Assign a weight to each goal or objective, and to each core competency (each core competency must have a weight of at least 1), to identify its relative value to performance by the position. Insert those weights in the table below. Note that the sum for all weights must equal 100.

For Performance Evaluation:

- On pages 3 through 5, identify the results achieved by the employee for each goal or objective and for each state-mandated core competency.
- Assign a performance rating level (outstanding, above standard, satisfactory, or unsatisfactory) for the results achieved for each goal or objective and for each state-mandated core competency. Record this rating on pages 3 and 4.
- Copy those ratings to the appropriate row in the table below.
- For each row: Multiply the pre-assigned weight times the numeric equivalent of the rating (1, 2, 3, or 4) to determine the numeric score for each goal or objective and each core competency.
- Total the individual numeric scores to determine the overall points achieved by the employee. Determine the employee's overall rating level using the conversion printed below the summary table.

SUMMARY OF PERFORMANCE

GOAL OR OBJECTIVE	Weight	Numeric Equivalent of Rating (1, 2, 3, or 4)	Numeric Score
Goal or Objective 1			
Goal or Objective 2			
Goal or Objective 3			
Goal or Objective 4			
Goal or Objective 5			
Supervisor Accountability Factor/Goal	Should be a minimum of 10%	"1" for pass, "0" for fail. If employee fails the Numeric Score is "0". If pass, the Numeric Score is 4 x the weight assigned.	
Communication			
Interpersonal Skills			
Accountability			
Job Knowledge			
Customer Service			
TOTAL	100		

Conversion of Total Numeric Score to Descriptive Rating			
361-400 Outstanding (Level 4)	281-360 Above Standard (Level 3)	181-280 Satisfactory (Level 2)	100 - 180 Unsatisfactory (Level 1)

NARRATIVES

Training Plans:

Planning Narrative:

Evaluation Narrative:

COACHING/PROGRESS REVIEW NOTES:

Date: _____

Issues Discussed:

Date: _____

Issues Discussed:

Date: _____

Issues Discussed:

DISPUTE RESOLUTION PROCESS

(For use beginning May 1, 2001)

This overview of the Dispute Resolution Process is an abbreviated version of the formal process that is available in its entirety at your campus Human Resources department. Before initiating this process, you are encouraged to have a meeting with your supervisor to identify and possibly rectify the issue about which you are concerned.

What Issues are Disputable?

The State Personnel Director has defined the specific Performance Pay matters that may be disputed by an employee and has specified the stages at which these matters will be reviewed. They are:

1. The individual performance plan, including lack of a plan during the performance planning and evaluation cycle;
2. The individual performance evaluation rating;
3. The application of the university's performance management plan, policies and processes (or an approved campus modification of the plan) to the individual employee's plan and/or evaluation;
4. Full payment of the award

Please note that the first two issues must be decided at the first stage, and are **not reviewable further**. Issues 3 and 4, if not resolved at the campus level, are reviewable at the second stage.

What Issues are Not Disputable?

1. The content of the University's performance management plan (or an approved campus modification of the plan), policies, and processes;
2. Matters related to the funds appropriated for performance awards;
3. The performance evaluations and performance awards of *other* employees;
4. The amount of an individual's performance award, including whether it is base building, non-base building, any combination, or none —unless the dispute concerns how the university's plan is applied and is covered by the 3rd Disputable Issue.

First Stage—Internal: University of Colorado Campus Level

To initiate the internal review process, the employee must submit a review request on the standard university form to the appointing authority. This must be done within five working days after the meeting at which the supervisor presented the employee with his/her performance evaluation rating. Copies of the written request must be submitted to the supervisor and to the campus Human Resources department designated to monitor disputes.

Unless there are extraordinary circumstances, the appointing authority or designee must, within five working days from receipt of the form, meet with the employee, the supervisor, and with any other persons whom the employee or the supervisor deem to have pertinent information. The appointing authority remains responsible for scheduling the meeting with the affected parties and for adhering to the schedule for completion of the review. After the meeting, the appointing authority has five working days to render a decision.

Second Stage—External: State Personnel Director

If unsatisfied with the decision of the appointing authority the employee may file a written request for external review with the State Personnel Director within five working days from the date the internal decision is received. The request must include a copy of the original written performance management issue(s) raised by the employee and the final written decision from the internal review stage. A copy of this written request also must be sent to the campus Human Resources department responsible for monitoring disputes.

This request will be screened based upon specific criteria established by the State Personnel Director, and if it is determined that further review is not warranted, that decision is final and binding and the employee will be notified accordingly. If, however, further review is warranted, the Director shall select a qualified neutral third party to review the decision who must within thirty days issue a written decision, which is final and binding.

Examples of Core Competency Measures

Following are examples of the types of measures that may be included in planning Core Competency performance. It should be understood between the supervisor and employee that while efforts are made at describing qualities of performance, for the most part, competencies are observed and evaluated by the supervisor. When measures are created an effort should be made to describe the three (3) levels of performance. As performance criteria are developed consideration should be given to the classification of the position and the types of expectations that exist for that type and level of work. Consideration should first be given to performance expectations at the "Satisfactory" level. Satisfactory performance is that level that is fully expected and appreciated. Measures are then created for the next higher level of performance and then the highest. Typically, "Above Standard" and "Outstanding" levels of performance require higher levels of skill, knowledge, and/or effort for the classification of the position.

Communication: The employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and students and other external constituents so as to anticipate problems and ensure effectiveness of the University or campus.

Satisfactory Performance

- Writing skills meet the needs of the assignment.
- Oral Communication skills meet the needs of the assignment.
- Messages are relayed in a professional and courteous manner

Above Standard Performance

- Writing skills would meet the next job class level.
- Oral Communication skills would meet the next job class level.
- Employee follows up to insure that messages are received and understood.

Outstanding Performance

- Writing skills are substantially beyond expectations.
- Oral Communication skills are substantially beyond expectations.
- Anticipates problems and takes necessary action with appropriate individuals.

Interpersonal Skills: The employee interacts effectively with others to establish and maintain smooth working relations.

Satisfactory Performance

- The employee is pleasant and courteous in all interactions.
- The employee establishes and maintains relationships that are appropriate for the level and type of work.
- Rarely involved in interpersonal disputes or customer conflicts.

Above Standard Performance

- The employee is willing to extend him/herself in providing help during crunch times, is flexible and accommodating.
- Demonstrates extra effort to maintain more complicated relationships.
- Resolves interpersonal conflicts without assistance.

Outstanding Performance

- Provides significant contribution in helping to insure a positive work environment.
- Makes continuous effort to insure that relationships are not only maintained but fostered and supported.
- Is used by others as an example of excellent interpersonal skills.

Accountability: The employee demonstrates responsible personal and professional conduct, which contribute to the overall goals and objectives of the University or campus.

Satisfactory Performance

- The employee accepts responsibility for actions, work, and behavior.
- The employee accomplishes assignments within established time frames.
- The employee is reliable in attendance and attention to work rules.
- The employee uses equipment and resources appropriately
- Is flexible with regard to work hours and assignment changes.

Above Standard Performance

- The employee is aware of his/her role in relation to institutional missions, goals, and objectives and works to support them.
- The employee frequently completes assignments well before deadlines or due dates without a loss of quality or quantity.

Outstanding Performance

- The employee takes independent action within the expectations of the work assignment but understands limitations of independent action.

Job Knowledge: The employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.

Satisfactory Performance

- The employee has acquired the skills and knowledge necessary for the assignment.
- Develops new job knowledge or skills as changes occur or as necessary.

Above Standard Performance

- Asks for additional training for the purpose of enhancing job knowledge and skill.

Outstanding Performance

- Is able to mentor/train others on skills and knowledge of the assignment.
- Identifies methods for enhancing accomplishment of the assignment and makes recommendations to the supervisor.

Customer Service: The employee works effectively with internal/external constituents to satisfy service expectations.

Note: Complaints should not be used as a primary determinant in evaluating this factor. Work units may wish to provide customer service training to employees in an effort to identify service problems and develop strategies for dealing with them. Work units may also choose to develop a survey or questionnaire for customers to complete in assessing the quality of service provided.

Satisfactory Performance

- Demonstrates an understanding of the customer service needs of the position and works towards achieving them.
- Consistently speaks to customers in a friendly and informative tone.

Above Standard Performance

- Identifies additional methods for meeting customer needs and makes appropriate recommendations.
- Provides extra effort or extra time with customers to resolve customer needs.

Outstanding Performance

- The employee assists other employees who are experiencing particularly difficult customer service problems.



PERFORMANCE PAY PROGRAM
Planning and Evaluation Form
Boulder Campus

(For instructions, see "User Guide")

Evaluation Period:	From _____	To: _____	Annual: ____	Other- reason: _____
Employee:	_____			Employee I.D. _____
Job Title:	_____			Pos. No.: _____
Work Unit:	_____			Dept. No. _____
Supervisor:	_____			Pos. No.: _____
Reviewer:	_____			Pos. No.: _____
PPP Decision	_____			Pos. No.: _____
Making Authority	_____			Pos. No.: _____

Performance Management Planning

The P.D.Q. (Job Description) for this position was reviewed and is current and accurate.		Supv. Initials: _____	Date: _____
This position supervises classified staff. A supervisory factor is included in the plan.		Yes <input type="checkbox"/>	N. A. <input type="checkbox"/>
Supervisor Signature: _____	Date: _____		
Reviewer Signature: _____	Date: _____		
Employee Signature: _____	Date: _____		
I <u>agree</u> with this plan: <input type="checkbox"/>		I <u>disagree</u> with this plan: <input type="checkbox"/>	

Coaching and Progress Review Meetings

At least one coaching, or progress review, meeting is required for each evaluation period; more are recommended. Indicate the date each meeting was held. Both the supervisor and employee should initial next to each date. The coaching/progress review notes page of this form provides space for documenting the issues discussed during the year.		
Date: _____	Supervisor Initials _____	Employees Initials _____
Date: _____	Supervisor Initials _____	Employees Initials _____
Date: _____	Supervisor Initials _____	Employees Initials _____

Evaluation Rating

Overall Rating for Evaluation Period:	Total Score <input type="text"/>	Outstanding (Level 4) <input type="checkbox"/>	Above Standard (Level 3) <input type="checkbox"/>	Satisfactory (Level 2) <input type="checkbox"/>	Unsatisfactory (Level 1) <input type="checkbox"/>
Supervisor Signature: _____	Date: _____				
Reviewer Signature: _____	Date: _____				
Employee Signature: _____	Date: _____				
I <u>agree</u> with this evaluation: <input type="checkbox"/>		I <u>disagree</u> with this evaluation: <input type="checkbox"/>			

Campus Mission Statement and Strategic Goals

The vision of the University of Colorado at Boulder is: "To lead in learning, research, teaching, and service to benefit and enhance the quality of life for the people of Colorado."

CU – Boulder's strategic goals are:

- Enhance undergraduate learning and education of students
- Promote excellence in research and graduate education
- Nurture a diverse campus environment
- Lead in the use and study of technology
- Provide broad access to institutional resources and service to the citizens of Colorado
- Provide outstanding student support services
- Provide outstanding administrative support services
- Build on existing excellence

The Mission of the Work Unit

The Role of This Position

The position's role in the accomplishment of the mission and objectives of the work unit and the campus is to:

(Use question #2, "Briefly summarize the purpose of this position," from the P.D.Q. or similar information from the job description.)

Key to Rating Level

Level 4 (Outstanding): This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Level 3 (Above Standard): This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

Level 2 (Satisfactory): This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills, and assignments for the job as well as those employees who are successfully developing in the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

Level 1 (Unsatisfactory): This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations.

Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

GOALS AND OBJECTIVES ASSOCIATED WITH SUCCESS IN THIS POSITION

"Goal or objective" is a specific statement or requirement. "Measurement method" reflects the evaluation basis for the expected results. "Results achieved" are the accomplishments of the employee during the evaluation period. Decimals may be used when determining ratings, i.e., 3.25.

1	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;">Goal or objective:</div> <div style="border: 1px solid black; height: 40px;">Measurement method:</div>	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
2	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;">Goal or objective:</div> <div style="border: 1px solid black; height: 40px;">Measurement method:</div>	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
3	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;">Goal or objective:</div> <div style="border: 1px solid black; height: 40px;">Measurement method:</div>	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
4	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;">Goal or objective:</div> <div style="border: 1px solid black; height: 40px;">Measurement method:</div>	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
5	<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;">Goal or objective:</div> <div style="border: 1px solid black; height: 40px;">Measurement method:</div>	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory

(Use additional pages if more than 5 goals or objectives are defined.)

CORE COMPETENCIES

The following core competencies have been defined by the State Personnel Director for inclusion in the performance plans of every employee classified in the State Personnel System. Mastery of the core competencies will vary depending upon the background and duties of an employee. A score for each competency is required. Decimals may be used when determining rating, i.e., 3.25.

1	<p>Communication: The employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and students and other external constituents so as to anticipate problems and ensure effectiveness of the University or campus.</p> <p>Measurement Factors:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Demonstrates good listening skills <input type="checkbox"/> Uses appropriate language and terminology <input type="checkbox"/> Speaks in a manner that will be understood, is courteous, and effective <input type="checkbox"/> Communicates to ensure others are informed and current <input type="checkbox"/> Is considerate of the communication skills of others 	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
2	<p>Interpersonal Skills: The employee interacts effectively with others to establish and maintain smooth working relations.</p> <p>Measurement Factors:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Maintains smooth working relations with others <input type="checkbox"/> Is helpful and supportive of others as necessary <input type="checkbox"/> Is understanding of the feelings and needs of co-workers and others <input type="checkbox"/> Contributes to maintaining a high level of morale and motivation <input type="checkbox"/> Is appreciative of the diversity of coworkers, customers, students, and visitors <input type="checkbox"/> Supports the institution's commitment to diversity 	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
3	<p>Accountability: The employee demonstrates responsible personal and professional conduct, which contribute to the overall goals and objectives of the University or campus.</p> <p>Measurement Factors:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Complies with unit policies relating to attire or dress code <input type="checkbox"/> Uses breaks and break times appropriately <input type="checkbox"/> Avoids conducting personal business during work hours <input type="checkbox"/> Represents the work unit to others in person, by phone, e-mail, etc. in a credible manner <input type="checkbox"/> Complies with institutional policies <input type="checkbox"/> Complies with work unit standards for requesting leave and calling in sick <input type="checkbox"/> Accepts schedule changes and responds to special situations 	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
4	<p>Job Knowledge: The employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.</p> <p>Measurement Factors:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Demonstrates the necessary knowledge, skills and abilities to complete work assignments <input type="checkbox"/> Meets deadlines in completing work assignments <input type="checkbox"/> Produces quality work <input type="checkbox"/> Work efforts and product contribute to a higher quality environment <input type="checkbox"/> Consistently meets performance expectations 	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory

5	Customer Service: The employee works effectively with internal/external constituents to satisfy service expectations.	Results achieved:	<input type="checkbox"/> Level 4: Outstanding <input type="checkbox"/> Level 3: Above Standard <input type="checkbox"/> Level 2: Satisfactory <input type="checkbox"/> Level 1: Unsatisfactory
	Measurement Factors: <input type="checkbox"/> Provides prompt and friendly service to internal and external customers <input type="checkbox"/> Helps identify customer needs through courteous questioning and a sincere desire to be helpful <input type="checkbox"/> Follows up with customers, as appropriate, to ensure satisfaction <input type="checkbox"/> Considers and recommends alternatives to customers as appropriate <input type="checkbox"/> Is as helpful with telephone contacts as with in-person interactions <input type="checkbox"/> Participates in Campus and/or community service projects as appropriate		

Instructions for Completing the Summary of Performance table:

For Performance Plan:

- On page 3, develop goals or objectives for the position and methods to measure results.
- On page 4, for each of the state-mandated core competencies, check all factors that apply to the position.
- Assign a weight to each goal or objective, and to each core competency (each core competency must have a weight of at least 1), to identify its relative value to performance by the position. Insert those weights in the table below. Note that the sum for all weights must equal 100.

For Performance Evaluation:

- On pages 3 through 5, identify the results achieved by the employee for each goal or objective and for each state-mandated core competency.
- Assign a performance rating level (outstanding, above standard, satisfactory, or unsatisfactory) for the results achieved for each goal or objective and for each state-mandated core competency. Record this rating on pages 3 and 4.
- Copy those ratings to the appropriate row in the table below.
- For each row: Multiply the pre-assigned weight times the numeric equivalent of the rating (1 – 4) to determine the numeric score for each goal or objective and each core competency. Decimals may be used to determine rating, i.e., 3.25.
- Total the individual numeric scores to determine the overall points achieved by the employee. Determine the employee's overall rating level using the conversion printed below the summary table.

SUMMARY OF PERFORMANCE

GOAL OR OBJECTIVE	Weight	Numeric Equivalent of Rating (1 – 4)	Numeric Score
Goal or Objective 1			
Goal or Objective 2			
Goal or Objective 3			
Goal or Objective 4			
Goal or Objective 5			
Communication			
Interpersonal Skills			
Accountability			
Job Knowledge			
Customer Service			
TOTAL	100		

Conversion of Total Numeric Score to Descriptive Rating

361-400 Outstanding (Level 4)	281-360 Above Standard (Level 3)	181-280 Satisfactory (Level 2)	100 - 180 Unsatisfactory (Level 1)
--	---	---	---

NARRATIVES

Training Plans:

Planning Narrative:

Evaluation Narrative:

COACHING/PROGRESS REVIEW NOTES:

Date: _____

Issues Discussed:

Date: _____

Issues Discussed:

Date: _____

Issues Discussed:

DISPUTE RESOLUTION PROCESS

This overview of the Dispute Resolution Process is an abbreviated version of the formal process that is available in its entirety at your campus Human Resources department. Before initiating this process, you are encouraged to have a meeting with your supervisor to identify and possibly rectify the issue about which you are concerned.

What Issues are Disputable?

The State Personnel Director has defined the specific Performance Pay matters that may be disputed by an employee and has specified the stages at which these matters will be reviewed. They are:

1. The individual performance plan, including lack of a plan during the performance planning and evaluation cycle;
2. The individual performance evaluation rating;
3. The application of the university's performance management plan, policies and processes (or an approved campus modification of the plan) to the individual employee's plan and/or evaluation;
4. Full payment of the award

Please note that the first two issues must be decided at the first stage, and are **not reviewable further**. Issues 3 and 4, if not resolved at the campus level, are reviewable at the second stage.

What Issues are Not Disputable?

1. The content of the University's performance management plan (or an approved campus modification of the plan), policies, and processes;
2. Matters related to the funds appropriated for performance awards;
3. The performance evaluations and performance awards of *other* employees;
4. The amount of an individual's performance award, including whether it is base building, non-base building, any combination, or none —unless the dispute concerns how the university's plan is applied and is covered by the 3rd Disputable Issue.

First Stage—Internal: University of Colorado Campus Level

To initiate the internal review process, the employee must submit a review request on the standard university form to the appointing authority. This must be done within five working days after the meeting at which the supervisor presented the employee with his/her performance evaluation rating. Copies of the written request must be submitted to the supervisor and to the campus Human Resources department designated to monitor disputes.

Unless there are extraordinary circumstances, the appointing authority or designee must, within five working days from receipt of the form, meet with the employee, the supervisor, and with any other persons whom the employee or the supervisor deem to have pertinent information. The appointing authority remains responsible for scheduling the meeting with the affected parties and for adhering to the schedule for completion of the review. After the meeting, the appointing authority has five working days to render a decision.

Second Stage—External: State Personnel Director

If unsatisfied with the decision of the appointing authority the employee may file a written request for external review with the State Personnel Director within five working days from the date the internal decision is received. The request must include a copy of the original written performance management issue(s) raised by the employee and the final written decision from the internal review stage. A copy of this written request also must be sent to the campus Human Resources department responsible for monitoring disputes.

This request will be screened based upon specific criteria established by the State Personnel Director, and if it is determined that further review is not warranted, that decision is final and binding and the employee will be notified accordingly. If, however, further review is warranted, the Director shall select a qualified neutral third party to review the decision who must within thirty days issue a written decision, which is final and binding.



University of Colorado at Colorado Springs

PERFORMANCE PAY PROGRAM

Planning and Evaluation Form

(For instructions, see "User Guide")

Evaluation Period:	From _____ To: _____	Annual: _____ Other: _____
Employee:	_____	Employee I.D. _____
Job Title:	_____	Pos. No.: _____
Work Unit:	_____	Dept. No. _____
Supervisor:	_____	Pos. No.: _____
Reviewer:	_____	Pos. No.: _____
Appointing Authority (or designee)	_____	Pos. No.: _____

Performance Management Planning

The P.D.Q. (Job Description) for this position was reviewed and is current and accurate.		Supv. Initials: _____	Date: _____
This position supervises classified staff. A supervisory factor is included in the plan.		Yes <input type="radio"/>	N. A. <input type="radio"/>
Supervisor Signature: _____	Date: _____		
Reviewer Signature: _____	Date: _____		
Employee Signature: _____	Date: _____		
I <u>agree</u> with this plan: <input type="radio"/>		I <u>disagree</u> with this plan: <input type="radio"/>	

Coaching and Progress Review Meetings

At least one coaching, or progress review, meeting is required for each evaluation period; more are recommended. Indicate the date each meeting was held. Both the supervisor and employee should initial next to each date. Page 7 of this form provides space for documenting the issues discussed during the meetings.

Date: _____	Supervisor Initials _____	Employee Initials _____
Date: _____	Supervisor Initials _____	Employee Initials _____
Date: _____	Supervisor Initials _____	Employee Initials _____

Evaluation Rating

Overall Rating for Evaluation Period:	Total Score <input type="text"/>	Outstanding (Level 4) <input type="radio"/>	Above Standard (Level 3) <input type="radio"/>	Satisfactory (Level 2) <input type="radio"/>	Unsatisfactory (Level 1) <input type="radio"/>
Supervisor Signature: _____	Date: _____				
Reviewer Signature: _____	Date: _____				
Employee Signature: _____	Date: _____				
I <u>agree</u> with this evaluation: <input type="radio"/>		I <u>disagree</u> with this evaluation: <input type="radio"/>			

Campus Mission Statement and Strategic Goals

The mission of the University of Colorado at Colorado Springs reflects the main purposes of the institution: 1) to provide a public undergraduate liberal arts and sciences education unexcelled in the state; 2) to provide selected professional and graduate programs which serve the needs of the Colorado Springs metropolitan area; to emphasize quality teaching while encouraging research and creative work and service to the University and the community.

The Strategic Goals for the campus are to:

1) grow in order to meet the needs of the students, the community, and the state; 2) to provide a comprehensive, personalized educational experience that prepares graduate to excel personally, professionally, and as citizens; 3) to enhance research, scholarship and creative works on the campus and in the community; 4) to use and enhance technology to improve teaching, learning, research and management; 5) to expand and strengthen community partnerships and support; 6) to model the values of diversity and create a campus climate that is all-inclusive; 7) to enhance the University's human, physical, and fiscal infrastructure.

The Mission of the Work Unit

The Role of This Position

The position's role in the accomplishment of the mission and objectives of the work unit and the campus is to:

(Use question #2, "Briefly summarize the purpose of this position," from the P.D.Q. or similar information from the job description.)

Key to Rating Levels

Level 4 (Outstanding): This rating represents consistently exceptional and documented performance or consistently superior achievement beyond the regular assignment. Employees make exceptional contribution(s) that have a significant and positive impact on the performance of the unit or the organization and may materially advance the mission of the organization. The employee provides a model for excellence and helps others to do their jobs better. Peers, immediate supervision, higher-level management and others can readily recognize such a level of performance.

Level 3 (Above Standard): This rating level encompasses the accomplished performers who consistently exhibit the desired competencies effectively and independently while frequently exceeding expectations, standards, requirements, and objectives of the job assigned. Their work has a documented impact beyond the regular assignments and performance objectives that directly supports the mission of the organization.

Level 2 (Satisfactory): This rating level encompasses a range of expected performance. It includes those employees who exhibit competency in the work behaviors, skills and assignments for the job as well as those employees who are successfully developing on the job. These employees are meeting all the expectations, standards, requirements, and objectives on their performance plan and, on occasion, may exceed them. This is the employee who reliably performs the job assigned.

Level 1 (Unsatisfactory): This rating level encompasses those employees whose performance does not consistently and independently meet expectations set forth in the performance plan as well as those employees whose performance is clearly unsatisfactory and consistently fails to meet requirements and expectations. Marginal performance requires substantial monitoring to achieve consistent completion of work, and requires more constant, close supervision. Though these employees do not meet expectations, they may be progressing satisfactorily toward a level 2 rating and need to demonstrate improvement in order to satisfy the core expectations of the position.

GOALS AND OBJECTIVES ASSOCIATED WITH SUCCESS IN THIS POSITION

"Goal or objective" is a specific statement or requirement. "Measurement method" reflects the evaluation basis for the expected results. "Results achieved" are the accomplishments of the employee during the evaluation period.

1	Goal or objective:	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	Measurement method:		
2	Goal or objective:	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	Measurement method:		
3	Goal or objective:	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	Measurement method:		
4	Goal or objective:	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	Measurement method:		
5	Goal or objective:	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	Measurement method:		

(Use additional pages if more than 5 goals or objectives are defined.)

CORE COMPETENCIES

The following core competencies have been defined by the State Personnel Director for inclusion in the performance plans of every employee classified in the State Personnel System. Mastery of the core competencies will vary depending upon the background and duties of an employee. A score for each competency is required.

1	Communication: The employee effectively communicates by actively listening and sharing relevant information with co-workers, supervisor(s) and students and other external constituents so as to anticipate problems and ensure effectiveness of the University or campus.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement Factors:</u> (May use either a set of factors or narrative that describes expectations for each rating level.)		
2	Interpersonal Skills: The employee interacts effectively with others to establish and maintain smooth working relations.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement Factors:</u>		
3	Accountability: The employee demonstrates responsible personal and professional conduct, which contribute to the overall goals and objectives of the University or campus.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement Factors:</u>		
4	Job Knowledge: The employee is skilled in job-specific knowledge which is necessary to provide the appropriate quantity and quality of work in a timely and efficient manner.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement Factors:</u>		
5	Customer Service: The employee works effectively with internal/external constituents to satisfy service expectations.	Results achieved:	<input type="radio"/> Level 4: Outstanding <input type="radio"/> Level 3: Above Standard <input type="radio"/> Level 2: Satisfactory <input type="radio"/> Level 1: Unsatisfactory
	<u>Measurement Factors:</u>		

Instructions for Completing the Summary of Performance table:

For Performance Plan:

- On page 3, develop goals or objectives for the position and methods to measure results.
- On page 4, develop factors or other measurement methods for each of the state-mandated core competencies.
- Assign a weight to each goal or objective, and to each core competency (each core competency must have a weight of at least 1), to identify its relative value to performance by the position. Insert those weights in the table below. Note that the sum for all weights must equal 100.

For Performance Evaluation:

- On pages 3 through 5, identify the results achieved by the employee for each goal or objective and for each state-mandated core competency.
- Assign a performance rating level (outstanding, above standard, satisfactory, or unsatisfactory) for the results achieved for each goal or objective and for each state-mandated core competency. Record this rating on pages 3 and 4.
- Copy those ratings to the appropriate row in the table below.
- For each row: Multiply the pre-assigned weight times the numeric equivalent of the rating (1, 2, 3, or 4) to determine the numeric score for each goal or objective and each core competency.
- Total the individual numeric scores to determine the overall points achieved by the employee. Determine the employee's overall rating level using the conversion printed below the summary table.

SUMMARY OF PERFORMANCE

GOAL OR OBJECTIVE	Weight	Numeric Equivalent of Rating (1, 2, 3, or 4)	Numeric Score
Goal or Objective 1			
Goal or Objective 2			
Goal or Objective 3			
Goal or Objective 4			
Goal or Objective 5			
Communication			
Interpersonal Skills			
Accountability			
Job Knowledge			
Customer Service			
TOTAL	100		

Conversion of Total Numeric Score to Descriptive Rating

361-400 Outstanding (Level 4)	281-360 Above Standard (Level 3)	181-280 Satisfactory (Level 2)	100 - 180 Unsatisfactory (Level 1)
--	---	---	---

NARRATIVES

Training Plans:

Planning Narrative:

Evaluation Narrative:

COACHING/PROGRESS REVIEW NOTES:

Date: _____

Issues Discussed:

Date: _____

Issues Discussed:

Date: _____

Issues Discussed:

DISPUTE RESOLUTION PROCESS

(For use beginning May 1, 2001)

This overview of the Dispute Resolution Process is an abbreviated version of the formal process that is available in its entirety at your campus Human Resources department. Before initiating this process, you are encouraged to have a meeting with your supervisor to identify and possibly rectify the issue about which you are concerned.

What Issues are Disputable?

The State Personnel Director has defined the specific Performance Pay matters that may be disputed by an employee and has specified the stages at which these matters will be reviewed. They are:

1. The individual performance plan, including lack of a plan during the performance planning and evaluation cycle;
2. The individual performance evaluation rating;
3. The application of the university's performance management plan, policies and processes (or an approved campus modification of the plan) to the individual employee's plan and/or evaluation;
4. Full payment of the award

Please note that the first two issues must be decided at the first stage, and are **not reviewable further**. Issues 3 and 4, if not resolved at the campus level, are reviewable at the second stage.

What Issues are Not Disputable?

1. The content of the University's performance management plan (or an approved campus modification of the plan), policies, and processes;
2. Matters related to the funds appropriated for performance awards;
3. The performance evaluations and performance awards of *other* employees;
4. The amount of an individual's performance award, including whether it is base building, non-base building, any combination, or none —unless the dispute concerns how the university's plan is applied and is covered by the 3rd Disputable Issue.

First Stage—Internal: University of Colorado Campus Level

To initiate the internal review process, the employee must submit a review request on the standard university form to the appointing authority. This must be done within five working days after the meeting at which the supervisor presented the employee with his/her performance evaluation rating. Copies of the written request must be submitted to the supervisor and to the campus Human Resources department designated to monitor disputes.

Unless there are extraordinary circumstances, the appointing authority or designee must, within five working days from receipt of the form, meet with the employee, the supervisor, and with any other persons whom the employee or the supervisor deem to have pertinent information. The appointing authority remains responsible for scheduling the meeting with the affected parties and for adhering to the schedule for completion of the review. After the meeting, the appointing authority has five working days to render a decision.

Second Stage—External: State Personnel Director

If unsatisfied with the decision of the appointing authority the employee may file a written request for external review with the State Personnel Director within five working days from the date the internal decision is received. The request must include a copy of the original written performance management issue(s) raised by the employee and the final written decision from the internal review stage. A copy of this written request also must be sent to the campus Human Resources department responsible for monitoring disputes.

This request will be screened based upon specific criteria established by the State Personnel Director, and if it is determined that further review is not warranted, that decision is final and binding and the employee will be notified accordingly. If, however, further review is warranted, the Director shall select a qualified neutral third party to review the decision who must within thirty days issue a written decision, which is final and binding.